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UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS PLAN

This document describes the Ames Laboratory's plan for the Unclassified Foreign Visits and Assignments program which implements the requirements of DOE Order 142.3A, dated October 14, 2010.

1.0 APPROVAL RECORD

- Reviewed by: Document Control Program Assistant (Molly Granseth)
- Approved by: Program Director, Safeguards & Security (Jeff Bartine)
- Approved by: Associate Counsel (Barbara Biederman)
- Approved by: Chief Operations Officer (Mark Murphy)
- Approved by: Chief Research Officer (Duane Johnson)
- Approved by: Associate Director for Sponsored Research Administration (Deb Covey)
- Approved by: Assistant Director for Scientific Planning (Cynthia Jenks)
- Approved by: Deputy Director (Tom Lograsso)
- Approved by: Laboratory Director (Adam Schwartz)

The official approval record for this document is maintained in the Training & Documents Office, 105 TASF.

2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

3.0 PURPOSE AND SCOPE

This plan outlines the policy and processes used by the Ames Laboratory in conducting its Unclassified Foreign Visits and Assignments (UFVA) program in fulfillment of DOE O 142.3A.

DOE Order 142.3A contains the requirements of unclassified foreign visits and assignments to DOE facilities including Ames Laboratory (AMES). The Order allows for a graded approach in designing and conducting the UFVA program at the Laboratory. This plan defines a program for allowing unclassified foreign national access to Ames Laboratory facilities, information and technologies by establishing requirements for the following: a) an approval process for foreign national visits and assignments consistent with U.S. and DOE national security and program-specific policies, requirements, and objectives, b) review of foreign national access requests to ensure that unauthorized access is denied, and c) a process for documenting and tracking visits and assignments by foreign nationals to the AMES site or involving AMES information or technology. In order to enhance the Laboratory's security and to aid the efforts of Argonne National Laboratory Office of Counterintelligence (ANL-CI), AMES will enter all unclassified foreign visit and assignment information into the Foreign Access Central Tracking System (FACTS).

Currently, nearly all research, administrative and support activities at AMES are limited to fundamental research, where the results will be published for the benefit of all. AMES maintains a small material balance of Category IV special nuclear materials and conducts very limited intermittent research activities with radiological materials. AMES does not conduct classified research: there is no classified or unclassified information requiring control protection in accordance with DOE Directives at AMES. The Laboratory has defined its nuclear materials storage room as its only property protection area; no other security areas are defined.

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The Laboratory's plan is built around the premise that a high percentage of the Laboratory's work is not sensitive. Therefore, AMES has developed a basic approach to be used in most cases. This basic approach is also the foundation for all UFVA actions for hosts without access authorization. Steps will be added to the basic approach when sensitive information is potentially involved with the UFVA action or where the host has an access authorization.

Unnecessarily restricting the flow of foreign collaborations could be detrimental to the free-flow of scientific exchange at AMES that is imperative to the advancement of the Laboratory's science mission. Therefore, the procedures embedded in this plan are designed to balance the science and security objectives for the UFVA program at AMES.

4.0 ROLES AND RESPONSIBILITIES

- 4.1. **The DOE Deputy Secretary or Office of Science and Energy Undersecretary** serves as the approval authority for access of a national of a state sponsor of terrorism.
- 4.2. **The Laboratory Director** serves as the Approver for all other foreign national visits and assignments. The Laboratory Director may delegate this approval authority to another member of the Executive Council who is a U.S. citizen (currently the Chief Operations Officer). Additionally, the Director will designate point-of-contact (POC) for UFVA program management and will provide contact information to the cognizant DOE field element, lead program secretarial office (LPSO), and to the Office of Health, Safety and Security.
- 4.3. **The Chief Operations Officer (COO)** administers the UFVA program and is responsible for:
 - Serving as the approval authority for UFVA activities and programs within the Laboratory.
 - Implementing the UFVA program consistent with guidelines and direction from the head of the DOE field element with direct responsibility for program performance.
 - Ensuring that program-specific guidance is issued and followed, corrective actions are implemented as appropriate, and program responsibilities associated with the presence of foreign nationals are met.
 - Providing oversight and supervision to the UFVA POC.
 - Reviewing Honoraria forms requested for any foreign national to make sure that they are eligible for the payment requested.
- 4.4. **The Export Control Officer** maintains the Laboratory's Sensitive Technologies list and performs an export control review on each foreign national who is neither a permanent resident alien or an asylee and who needs access to Ames Laboratory through the unclassified foreign visits and assignments process. The Export Control Officer is responsible for:
 - Determining if the foreign national's research requires a license, once the 473 is approved, a license will be requested from the Department of Commerce's Bureau of

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Export Administration. Until the license is either obtained or rejected, the foreign national will not be allowed to work or to have access to export controlled information nor technology.

- Maintaining a systematic, effective process that provides managers, planners and hosts with appropriate guidance and insight regarding all technologies and information that could lead to sensitive or export controlled areas.
- Ensuring that sensitive or export controlled technologies and information are identified.
- Ensuring that the requirements of this Contractor Requirements Documents (CRD) are applied to the Strategic Partnership Projects (SPP), the Cooperative Research and Development Agreement (CRADA) and the Agreement for Commercializing Technology (ACT) that require foreign national access to DOE sites, facilities, or laboratories, or to DOE information that is not releasable to the general public.

4.5. The Unclassified Foreign Visits & Assignment Point of Contact (UFVA POC) is responsible for reviewing foreign national visit and assignment requests for completeness and ensuring the host is current on training. The UFVA POC will:

- Enter the data from the foreign national visits and assignments requests into the FACTS (One must be a U.S. citizen to access FACTS).
- Review all Honoraria and Cyber Only Access requests for foreign nationals, and will verify that the foreign national has a complete Ames Laboratory Form AL 473 Foreign Visits and Assignments Request Form on file in the Director's Office.
- Be held responsible for the UFVA plan, including any updates.

4.6. The Host is responsible for activities associated with the successful accomplishment of a visit or assignment. A national of a state sponsor of terrorism may not host other foreign nationals. The host will:

- Arrange the visit and ensure the visitor is provided a safe and secure work space during the visit.
- Complete an Ames Laboratory Form AL 473 Foreign Visits and Assignments Request Form for all visits and assignments and develop a specific security plan for foreign nationals accessing sensitive data.
- Provide oversight of the foreign national while on site.
- Inform the UFVA POC of any change in information.

4.7. The Foreign Visitor or Assignee will work within the parameters established by the host and will inform the UFVA POC of any changes in information pertaining to their assignment at the Laboratory.

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5.0 EXCLUSIONS

The following are exclusions to this plan:

- Events or activities that are determined to be open to the general public (such as public lectures, community meetings, cultural or entertainment events, or open house events) and that are held in locations determined to be open to the general public by the hosting site approval authority in coordination with subject matter experts (SMEs) in security, export control, technology transfer, and counterintelligence are exempt from this policy. Also, common areas such as hallways, vending machine areas and restrooms are not covered by this policy.
- Access by foreign nationals 17 years of age or younger who are involved in non-work-related activities, such as school tours, family days, etc., are not documented in the FACTS.
- Unclassified events and activities that occur outside the U.S. or its territories do not have to be documented in FACTS but may require documentation in the Foreign Travel Management System, or may require reporting to counterintelligence.

6.0 POLICY STATEMENT

The Ames Laboratory will comply with the Contractor's Requirements Document of DOE Order 142.3A, Unclassified Foreign Visits and Assignments Program, as implemented in a graded approach specific to this site.

7.0 REQUIREMENTS

7.1. All Foreign Visitors and Assignees

- 7.1.1. All requests for visit or assignment from a foreign national will be documented using the Ames Laboratory Form AL 473 Foreign Visits and Assignments Request Form ([Form 40000.004](#)). Information on all foreign visits and assignments is entered into FACTS. AMES currently does not have a comparable local system from which information for DOE can be obtained.
- 7.1.2. Visitors and assignees report to Iowa State University's International Education Services to verify eligibility for assignment and to provide documentation for entry into the Student and Exchange Visitors Information System (SEVIS).
- 7.1.3. Visitors and assignees report to the Ames Laboratory Human Resources Office with sufficient U.S. Citizens and Immigration Services (USCIS) documentation of immigrant or nonimmigrant status, identity, and citizenship (copies of passport, visa and/or Immigration and Naturalizations Service [INS] information) to verify identity and authorization for visit or assignment.
- 7.1.4. Lawful permanent residents of the U.S. must present their permanent resident card and a government issued photo I.D. (driver's license or passport).
- 7.1.5. AMES identifies those specific items from the Sensitive Subjects List that are relevant to the Laboratory's research and which organizations, facilities and/or individuals are involved in such research, and ensures assignments are compliant.
- 7.1.6. AMES prepares a specific security plan for visits and assignments involving access to sensitive subjects.

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7.2. Nationals of State Sponsors of Terrorism (non-permanent resident aliens)

- 7.2.1. In addition to documenting the visit or assignment in FACTS, AMES completes all documentation required by DOE and submits it to the Ames Site Office to obtain the additional approvals of the cognizant Headquarters Undersecretary's Office and the Deputy Secretary prior to granting access to the Laboratory.
- 7.2.2. AMES works with the ANL-CI to acquire indices checks on these visitors and assignees.
- 7.2.3. AMES prepares and submits a specific security plan.
- 7.2.4. Subsequent assignment requests extending access to the Laboratory may be approved by the approval authority of the Laboratory; Director or Chief Operations Officer.

7.3. Sensitive Country Nationals

- 7.3.1. AMES documents the visit or assignment in FACTS
- 7.3.2. AMES works with ANL-CI to acquire indices checks on sensitive country assignees.
- 7.3.3. AMES prepares a specific security plan for visits and assignments involving access to sensitive subjects.

7.4. Security Plans

- 7.4.1. The Site Security Plan serves as the general security plan required for visitors and assignees that do not require a specific security plan.
- 7.4.2. A specific security plan is required for any individual accessing sensitive facilities, information or technology or for any visitor or assignee from a state sponsor of terrorism country.

7.5. Miscellaneous

- 7.5.1. Visitors, assignees and hosts should notify the Laboratory's UFVA POC of any changes in information for update into FACTS.
- 7.5.2. Human Resources coordinates work assignments with ISU's International Education Services and the Laboratory's UFVA POC, and will notify the UFVA POC upon termination of the visit or assignment in order to update FACTS.
- 7.5.3. An Export Control review occurs for all 473s and a determination is made as to whether a license is required or not.
- 7.5.4. All hosts of foreign visits must annually complete host training.
- 7.5.5. AMES has approval authority for UFVA requests from non-sensitive and sensitive countries. Indices checks do not have to be completed before access is granted.
- 7.5.6. Ames also has approval authority for UFVA requests submitted for permanent resident aliens from state sponsors of terrorism countries. Indices checks have to be completed before access is granted.

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7.6. Assignment of Approval Authority

- 7.6.1. Approval Authorities must be U.S. citizens.
- 7.6.2. The Laboratory Director is the designated approval authority for the Laboratory.
- 7.6.3. The Laboratory Director may further assign approval authority to a member of the Executive Council. The assignee must be properly trained in the UFVA program and have sufficient knowledge of the AMES UFVA program to be able to act in the best interest of the Laboratory.
- 7.6.4. This plan serves as the required assignment plan as referenced in DOE O 142.3A.
- 7.6.5. Assignment of approval authority is made in writing and cannot be reassigned by the assignee.
- 7.6.6. Notice of assignment must be furnished to the Ames Site Office, and the CH Office of Security.

8.0 CYBER ACCESS

8.1. Foreign Visits and Assignments Request Form ([AL-473](#))

A question on this form asks whether or not computer access will be granted. If access is required, check the appropriate box on the 473 form and then refer to 8.2, 8.3 and 8.4.

8.2. Foreign National Access to Cyber Systems ([form 48400.002](#))

If cyber resources are required for an on-site foreign national visitor, this form must be completed and submitted to the Information Systems Office before cyber access may be granted.

8.3. Cyber Security Cyber Access Only ([form 48400.031](#))

If cyber resources are required for an off-site foreign national, this form must be completed and submitted to the Information Systems Office before cyber access may be granted. There must be an AL-473 form on file with the Directors' Office to acquire this access.

8.4. Ames Laboratory Cyber Security Program Plan

Foreign nationals using cyber resources must comply with this plan. All foreign nationals from a state sponsor of terrorism must have an individual cyber security plan regardless of enclave access. An individual cyber security plan *must* be developed for any foreign national accessing moderate enclave data or required to have an export control license.